

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Group Art Unit:

2144

HARVEY R. BIALK et al.

Examiner:

Tam T. Phan

Serial No.:

09/851,234

Filed:

May 8, 2001

For:

NETWORK MANAGEMENT METHOD AND SYSTEM FOR

MANAGING A BROADBAND NETWORK PROVIDING

**MULTIPLE SERVICES** 

Attorney Docket No.: 2001-0147 (ATTB 0101 PUS)

## INFORMATION DISCLOSURE STATEMENT AND CERTIFICATION UNDER 37 C.F.R. § 1.97(c) AND (e)(1)

Mail Stop Amendment Commissioner for Patents U.S. Patent & Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and §§ 1.97-1.98, the references listed and identified on the attached Forms PTO/SB08A and/or SB08B are being submitted herewith for consideration by the Examiner. This Statement is being filed in accordance with 37 C.F.R. § 1.97(c), i.e., after the mailing date of a first Office Action on the merits but before the mailing of a final action or a notice of allowance.

Each item of information contained in this Statement was first cited in a European Search Report dated November 24, 2004 (copy enclosed) in a counterpart European

I hereby certify that this paper, including all enclosures referred to herein, is being deposited with the United States Postal Service as first-class mail, postage pre-paid, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, U.S. Patent & Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450 on

December 17, 2004

Date of Deposit

James N. Kallis
Name of Person Signing

**Sig**nature

Atty Dkt No. 2001-0147 (ATTB 0101 PUS)

S/N: 09/851,234

Application (EP 02 253 204.8) of related U.S. application Serial Number 09/851,285 not more

than three months prior to the filing of this Statement.

While this Statement is being filed in compliance with the duty of disclosure,

citation of the attached references is not to be construed as an admission that any of the

references are "material" as defined under 37 C.F.R. § 1.56(b).

No copies of the listed U.S. patent references or the listed U.S. patent

application publication references have been included herewith pursuant to 37 C.F.R.

§ 1.98(a)(2). All other references have been provided as required. Consideration and entry

into the record of the listed references is respectfully requested.

Respectfully submitted,

HARVEY R. BIALK et al.

Reg. No. 41,102

ttorney for Applicant

Date: December 17, 2004

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PTO/SB/08A (10-96) [MODIFIED]
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Under the Paperwork Reduction Act of 1999, no persons are requ				Complete if Known		
Substitute for Form 1449A/PTO				Application Number	09/851,234	
INFO	ORMATION	DISC	LOSURE	Filing Date	May 8, 2001	
STA	TEMENT B	Y AP	PLICANI	First Named Inventor	Harvey R. Bialk et al.	
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and on the	1	of	2	Attorney Docket Number	2001-0147 (ATTB 0101 PUS)	

_	U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.1	U.S. PATENT DOCUMENT  Site Kind Code <sup>2</sup>		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		5,640,505	A	Robert C. Bell	06-17-1997		
						<u> </u>	
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FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.1	Office <sup>3</sup>	Foreign Patent Do	ocument Kind Code <sup>5</sup> ( <i>if known</i> )		Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		WO 9	99/15950	A	Degraft Johnson	04-01-1999		
		EP (	0 820 203	A	AT&T Corp	01-21-1998		
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Examiner Signature		Date Considered	
	Initial if reference considered, whether or not citation is in conformance with		ine through citation if not in conformance and not

considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for Form 1449B/PTO			Complete if Known			
			Application Number	09/851,234		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			Filing Date	May 8, 2001		
MON A I	ů.	APPLICANT	First Named Inventor	Harvey R. Bialk et al.		
por 3	. •		Group Art Unit	2144		
	(use as many she	ets as necessary)	Examiner Name	Tam T. Phan		
eet	2	of 2	Attorney Docket Number	2001-0147 (ATTB 0101	PUS)	
	OTHER P	RIOR ART NON F	PATENT LITERATUR	RE DOCUMENTS		
Examiner Initials	Cite No. <sup>1</sup>	item (book, magazine, journal, s	serial, symposium, catalog, etc.), da	CAPITAL LETTERS), title of the article (when appropriate), title of the serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), olisher, city and/or country where published.		
		Networks: A Europe	an Perspective" IEEE	"On Management of CATV Full Service n Perspective" IEEE Network, IEEE Inc., 12, no. 5, September 1998, pgs. 28-39		
		Gardner R. D. et al.: "Pattern Discovery and Specification Techniques for Alarm Correlation" Network Operations and Management Symposium, 1998. NOMS 98., IEEE New Orleans, LA, USA 15-20 Feb. 1998, New York, NY, USA, IEEE, US February 15, 1998, pgs. 713-722				
		Haritsa J.R. et al.: "Mandate: Managing Networks Using Database Technology" IEEE Journal on Selected Areas in Communications, IEEE Inc., New York, U.S., vol. 11, no. 9, December 1, 1993 (1993-12-01), pgs. 1360-1372				

Examiner	Date	
Signature	Considered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.